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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

1

of

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Complete if Known,

Application Number	09/854,188
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Filing Date	5/10/2008
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First Named Inventor	Kleiman
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Group Art Unit	NYA 217
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Examiner Name	NYA U. LE
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Attorney Docket Number	103.1068.01
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U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

Examiner
Signature

UYEN LE

Date
Considered

20 Sept 04

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Sheet 1 of 1

Application Number	09/127,497
Filing Date	July 31, 1998
First Named Inventor	Steve Kleiman et al
Group Art Unit	2784-2171
Examiner Name	Not Assigned UCLE
Attorney Docket Number	NAP-013

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UYEN LE

20 Sept 04

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Substitution for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>			Complete if Known	
			Application Number	09/127,497
			Filing Date	July 31, 1998
			First Named Inventor	Steve Kleiman et al
			Group Art Unit	2784- 2171
			Examiner Name	Not Assigned U. LE
Sheet 1	of 2	Attorney Docket Number NET-013		

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Examiner Signature	UYEN LE	Date Considered	20 Sept 04
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Substitution for form 1449B-PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known	
Sheet 2 of 2				Application Number	09/127,497
Filing Date				July 31, 1998	
First Named Inventor				Steve Kleiman et al	
Group Art Unit				2784 2171	
Examiner Name				Not Assigned U. LE	
Attorney Docket Number				NET-013	

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Sheet 1 of 2

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Application Number	09/127,497
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Filing Date	July 31, 1998
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First Named Inventor	Kleiman et al
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Group Art Unit	2784	2171
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Examiner Name	Not-Asssigned
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Attorney Docket Number	NET-013
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Group Art Unit	2784- 3171
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Attorney Docket Number	NET-013

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Application Number	09/127,497
Filing Date	July 31, 1998
First Named Inventor	Steven KLEIMAN
Group Art Unit	2171
Examiner Name	Uyen Le
Attorney Docket Number	NAP-013

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Sheet 2 of 11

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Application Number	09/127,497
Filing Date	July 31, 1998
First Named Inventor	Steven R. KLEIMAN
Group Art Unit	2171
Examiner Name	Uyen Le
Attorney Docket Number	NAP-013

U.S. PATENT DOCUMENTS

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		Number	Kind Code ² (if known)			
9/11		4,742,450		Duvall et al	5/03/88	
		4,761,737		Duvall et al	8/02/88	
		4,761,785		Clark et al	8/02/88	
		4,766,534		DeBenedicts	8/23/88	
		4,780,821		Crossley	10/25/88	
		4,783,730		Fischer	11/08/88	
		4,803,621		Kelly	2/07/89	
		4,819,159		Shipley et al	4/04/89	
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		4,845,609		Lighthart et al	7/04/89	
		4,875,159		Cary et al	10/17/89	
		4,887,204		Johnson et al	12/12/89	
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		4,914,583		Weisshaar	4/03/90	
		4,965,772		Daniel et al	10/23/90	
		4,969,118		Montoye et al	11/06/90	
		5,001,628		Johnson et al	3/19/91	
✓		3,893,024		Reins et al.	07/01/75	

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Sheet 4 of 11

Complete if Known

Application Number	09/127,497
Filing Date	July 31, 1998
First Named Inventor	Steven R. KLEIMAN
Group Art Unit	2171
Examiner Name	Uyen Le
Attorney Docket Number	NAP-013

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
ju		5,235,601		Stallmo et al	8/10/93	
		5,251,308		Steven J. Frank	10/05/93	
		5,255,270		Yanai et al	10/19/93	
		5,261,044		Dev et al	11/09/93	
		5,274,799		Brant et al	12/28/93	
		5,274,807		Hoshen et al	12/28/93	
		5,276,840		Yu	1/04/94	
		5,276,867		Kenley et al	1/04/94	
		5,317,731		Dias et al.	5/31/94	
		5,297,265		Frank et al	3/22/94	
		5,305,326		Solomon et al	4/19/94	
		5,313,626		Jones et al	5/17/94	
		5,313,646		Hendricks	5/17/94	
		5,313,647		Kaufman	5/17/94	
		5,315,602		Noya et al	5/24/94	
		5,333,305		Neufeld	7/26/94	
		5,355,453		Row et al	10/11/94	
		5,357,509		Ohizumi	10/18/94	
Y		5,319,780		Catino et al.	06/1994	

FOREIGN PATENT DOCUMENTS

[illegible]Examiner
Signature

UYEN LE

Date
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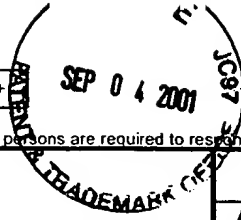
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Sheet	5	of	11	Application Number	09/127,497
				Filing Date	July 31, 1998
				First Named Inventor	Steven R. KLEIMAN
				Group Art Unit	2171
				Examiner Name	Uyen Le
				Attorney Docket Number	NAP-013

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		Number	Kind Code ² (if known)			
W		5,357,612		Alaiwan	10/18/94	
		5,377,196		Godlew et al	12/27/94	
		5,379,417		Lui et al	1/03/95	
		5,430,729		Rahnema	7/04/95	
		5,454,095		Kraemer et al	9/26/95	
		5,485,455		Dobbins et al	1/16/96	
		5,490,248		Dan et al	2/06/96	
		5,497,343		Rarick	3/05/96	
		5,502,836		Hale et al	3/26/96	
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		5,740,367		Spilo	04/1998	
V		5,828,876		Fish et al.	10/1998	

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			Filing Date	July 31, 1998	
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Sheet	6	of	11	Attorney Docket Number	NAP-013

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JUL		5,630,060		Tang et al	5/13/97	
		5,634,010		Ciscon et al	5/27/97	
		5,642,501		Doshi et al	6/24/97	
		5,644,718		Belove et al	7/01/97	
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		5,673,265		Gupta et al	9/30/97	
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		5,856,981		Voelker	01/05/99	
		5,950,225		Kleiman	09/07/99	
	V		5,956,491		Marks	09/21/99
		5,956,712		Bennett et al.	09/21/99	
		5,957,612		Bradley	09/28/99	

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Attorney Docket Number	NAP-013

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Sheet 7 of 11

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Filing Date	July 31, 1998
First Named Inventor	Steven R. KLEIMAN
Group Art Unit	2171
Examiner Name	Uyen Le
Attorney Docket Number	NAP-013

U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

Examiner Initials ²	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T6
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
W			EP 0,462,917 B1		Bond et al.	12/27/91		
			EP 0,477,039 A3		Nukui et al	03/25/92		
			EP 1,031,928 A2		Hitz et al	8/30/00		
			EP 0,497,067 A1		Froemke et al	08/05/92		
			EP 0,537,198 B1		Bosch	4/93		
			EP 0,552,580 A2		Styczinski	07/28/93		
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			EP 0,566,967 A3		Cohn et al.	10/27/93		
			EP 0,569,313 A2		Styczinski	11/10/93		

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of

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09/127.497

July 31, 1998

Steven R. KLEIMAN

2171

Uyen Le

NAP-013

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W			EP 0,559,488 A2,A3,B1		Solomon et al.	09/08/92		
			H 1,860		Asthana et al.	09/05/00		
			WO 00/07104		Hitz et al	2/10/00		
			WO 00/11553		Schoenthal	3/02/00		
			WO 89/03086		Laggis et al	4/06/89		
			WO 91/13404		Jaffe et al	9/05/91		
			WO 91/13475		Nuefeld et al	7/08/93		
			WO 92/00834		Bosch	1/23/92		
			WO 94/29795		Hitz et al	12/22/94		
			WO 94/29796		Hitz et al	12/22/94		

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Sheet 11 of 11

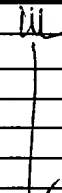
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Application Number	09/127,497
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First Named Inventor	Steven R. KLEIMAN
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			EP 0,492,808A, A2, A3		Stallmo et al.	07/01/92		
			WO 94/29807		Hitz et al	12/22/94		
			WO 98/38576		Kleiman	9/03/98		
			WO 99/30254		Borr	6/17/99		
			WO 99/45456		Hitz et al	9/10/99		
			WO 99/46680		Kleiman	9/16/99		
			WO 99/66401		Muhlestein	12/23/99		

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Sheet 1 of 8

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Group Art Unit	2171
Examiner Name	Uyen Le
Attorney Docket Number	NAP-013

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ML		AT & T - UNIX System V Release 4 Programmer's Guide: STREAMS NO DATE	
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✓		CHERITON, DAVID R. "The Thoth System: Multi-Process Structuring and the Thoth Operating System". 1979 Pages: 1-64.	

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Sheet 2 of 8

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u		LANTZ, KEITH A. et al "Rochester's Intelligent Gateway". IEEE. October 1982.	
		LEFFLER, SAMUEL J. et al "The Design and Implementation of the 4.3 BSD UNIX Operating System". 1989	
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		NELSON, BRUCE "Benchmark Methodology and Preliminary Performance Specifications for the Auspex NS 5000 Network Server". Dated: October 1989.	
✓		Network Appliance-Data ONTAP Event Management System. August 10, 2000.	

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Substitute for form 1449B/PTO		Complete if Known			
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	09/1127,497		
		Filing Date	July 31, 1998		
		First Named Inventor	Steven R. KLEIMAN		
		Group Art Unit	2171		
		Examiner Name	Uyen Le		
Sheet	3	of	8	Attorney Docket Number	NAP-013

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials [*]	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
ul		HANSON, RICHARD A. "Experiences With A Series/1 Distributed System. April 1969.	
		HARTMAN, JOHN H. & JOHN K. OUSTERHOUT. "The Zebra Striped Network File System". FAXED 27 OCTOBER 1993	
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Examiner Signature	U. LE	Date Considered	20 Sept 04
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Sheet 4 of 8

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Application Number	09/127,497
Filing Date	July 31, 1998
First Named Inventor	Steven R. KLEIMAN
Group Art Unit	2171
Examiner Name	Uyen Le
Attorney Docket Number	NAP-013

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u		CHERITON, DAVID R. "The Thoth System: Multi-Process Structuring and Portability". 1982	
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✓		HAMMOND, RICHARD A. "Experiences With A Series/1 Distributed System". Pages: 585-589. IEEE 1980	

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Sheet 5 of 8

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ml		Network Interfaces Programmer's Guide. Sun Microsystems, Inc. 1992.	
		Optical Backplanes Driven By Sebring Rings Can Supply 40-160 Terabits/Sec of Wire-Speed Routing By 2002. OCTOBER 1999	
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		Filing Date	July 31, 1998
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ul		SANDBERG, RUSSEL "The SUN Network File System: Design, Implementation and Experience". FAXED 20 SEPTEMBER 1995	
		SCHROEDER W. "PEACE: The Distributed SUPRENUM Operating System". 1988	
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		SRC 6466 External Architecture Specification Rev. 0.7. May 05, 1999.	
		SRC 6466 Protocol Specification, Rev. 0.9, Draft. August 16, 1999.	

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ul		STALLINGS, WILLIAM 5th Edition-Data and Computer Communications. 1997.	
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		USENIX Association. Proceedings of the Winter 1992 USENIX Conference. San Francisco, CA. January 20-24, 1992.	
✓		VRTX. C User's Guide. January 1987.	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 8 of 8

Complete if Known

Application Number	09/127,497
Filing Date	July 31, 1998
First Named Inventor	Steven R. KLEIMAN
Group Art Unit	2171
Examiner Name	Uyen Le
Attorney Docket Number	NAP-013

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials ²	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
ml		VRTX32/68020 Versatile Real-Time Executive for the MC68020 Microprocessor. Dated: April 1987.	
		WALTON, ROBERT L. Rationale for a Queueable Object Distributed Interprocess Communication System. IEEE. 1982.	
		WOOD, B.J. et al A Local-Area Network Architecture Based on message-Passing Operating System Concepts. NO DATE	
		GRAY J. et al. "Parity Striping of Disc Arrays: Low-Cost Reliable Storage with Acceptable Throughput" Proceedings of the International Conference on the Very Large Databases. Pages: 148-161. Dated: 08/13/199	
		MENON J. et al. "The Architecture of a Fault-Tolerant Cached Raid Controller" Proceedings of the Annual International Symposium on Computer Architecture. US. Los Alamitos. IEEE. Comp. Press. Soc. Press. Vol. Symp. 20. Pages: 76-86. Dated: May 16, 1993. XP000398988.	
		Patent Abstract of Japan Vol. 017. No. 621 AUGUST 1993	

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U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.
NET-013

Serial No.
09/127,497

Information Disclosure
Statement by Applicant

(Use several sheets if necessary)

Applicant: Steven Kleiman, et al.

Filing Date: July 31, 1998

Group: 2(71)

U.S. PATENT DOCUMENTS

Exam. Init.	Document No.	Date	Name	Class	SubClass	Filing Date

FOREIGN PATENT DOCUMENTS

Exam. Init.	Document No.	Date	Country	Class	SubClass	Translation	
						Yes	No
u ↓	US 5335235 A EP 747829 A US 5146588 A EP 756235 A EP 629956 A2 EP 629956 A3 WO 9821656 A	020894 111296 080992 290197 211294 211294 220598	↓	↓	↓		

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

u ↓	R. Nass: Connect Disk Arrays to Eisa or PCI Buses" Electronic Design, Vol. 41, no. 23, November 1993, Cleveland, OH, USA pages 152-154, XP000417908 see page 152 - page 153, right-hand column, line 10

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Form PTO-1449

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Patent and Trademark OfficeAtty. Docket No.
NET-013Serial No.
09/127,497Information Disclosure
Statement by Applicant

Applicant: Steven Kleiman, et al.

Filing Date: July 31, 1998

Group: 2171

(Use several sheets if necessary)

U.S. PATENT DOCUMENTS

Exam. Init.	Document No.	Date	Name	Class	SubClass	Filing Date

FOREIGN PATENT DOCUMENTS

Exam. Init.	Document No.	Date	Country	Class	SubClass	Translation	
						Yes	No
all ↓	EP 453193 A EP 359384 A	102391 032190	↓	↓	↓		

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

all ↓	B. Srinivasan, et al.: "Recoverable file system for microprocessor systems" MICROPROCESSORS AND MICROSYSTEMS., Vol. 9, no. 4, May 1985, London, GB, pages 179-183, XP002031805 see page 181, left-hand column, line 12 – page 182, right-hand column, line 30

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FORM PTO-1449	ATTY. DOCKET NO. NAP-013	SERIAL NO. 09/127,497
	APPLICANT Kleiman, et al.	
22883	FILING DATE 7/31/98	GROUP 2784 2171

REFERENCE DESIGNATION OFFICE U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
<i>h</i>	A	5,876,278	Mar. 2, 1999	Henry Cheng	454	184
	B	5,890,959	Apr. 6, 1999	Pettit, et al.	454	184
	C	5,202,983	Apr. 13, 1993	Orita, et al.	395	600
	D	5,675,782	Oct. 7, 1997	Montague, et al.	395	609
	E	4,984,272	Jan. 8, 1991	McIlroy, et al.	380	25
	F	5,617,568	Apr. 1, 1997	Ault, et al.	395	612
	G	5,144,659	Sep. 1, 1992	Richard P. Jones	380	4
	H	5,283,830	Feb. 1, 1994	Hinsley, et al.	380	25
	I	5,963,962	Oct 5, 1999	Hitz, et al.	707	202
	J	5,819,292	Oct. 6, 1998	Hitz, et al.	707	203
	K	5,222,217	June 22, 1993	Blount, et al.	395	325
<i>2</i>	L	5,668,958	Sep. 16, 1997	Bendert, et al.	710	128
<i>✓</i>	M	5,931,935	Aug 3, 1999	Calbrera, et al.	710	260

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		DOCUMENT NUMBER	DATE	COUNTRY	NAME	CLASS	SUB CLASS	TRANSLATION	
								YES	NO

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

EXAMINER <i>U. LE</i>	DATE CONSIDERED <i>20 Sept 04</i>
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REFERENCE DESIGNATION

PATENT TRADEMARK OFFICE

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
<i>W</i>	N	5,572,711	Nov. 5, 1996	Hirsch, et al.	395	500
	O	5,915,087	June 22, 1999	Hammond, et al.	395	187.01
	P	4,825,354	Apr. 25, 1989	Agrawal, et al.	364	200
	Q	5,689,701	Nov. 18, 1997	Bradford, et al.	395	610
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	S	5,737,523	Apr. 7, 1998	Callaghan, et al.	395	187.01
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	U	5,761,669	June 2, 1998	Montague, et al.	707	103
	V	5,113,442	May 12, 1992	Dale A. Moir	380	25
	W	5,283,830	Feb. 1, 1994	Hinsley, et al.	380	25
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								YES	NO
<i>W</i>		1-273395	11-1989	Japan	Endo	361	695		

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

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20 Sept 04



22883

PATENT TRADEMARK OFFICE

REFERENCE DESIGNATION

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
<i>RL</i>	A	5,649,152	July 15, 1997	Ohran, et al.	395	441
<i>↓</i>	B	5,649,196	July 15, 1997	Woodhill, et al.	395	620
<i>↓</i>	C	5,996,086	November 30, 1999	Delaney, et al.	714	4
<i>↓</i>	D	5,721,916	February 24, 1998	Pardikar	395	617

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		DOCUMENT NUMBER	DATE	COUNTRY	NAME	CLASS	SUB CLASS	TRANSLATION	
								YES	NO

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

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APPLICANT	Steven R. KLEIMAN		
FILING DATE	July 31, 1998	GROUP	Not Assigned 2(71)

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
<i>ml</i>	A	5,067,099	11/19/91	McCown et al	364	550
<i>ml</i>	B	4,937,763	6/26/90	Mott	364	550

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		DOCUMENT NUMBER	DATE	COUNTRY	NAME	CLASS	SUB CLASS	TRANSLATION	
								YES	NO
<i>ml</i>		0537098	4/14/93	EP	Aulden, D.	<u> </u>	<u> </u>		

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

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